



sector 13

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Schroiff et al.  
Serial No.: 09/883,113  
For: CASCADING FAILOVER OF A DATA MANAGEMENT APPLICATION  
FOR SHARED DISK FILE SYSTEMS IN LOOSELY COUPLED NODE  
CLUSTERS  
Filed: June 15, 2001  
Examiner: Not yet assigned  
Art Unit: 2171

Attorney Docket: DE920000061US1

**Box MISSING PARTS  
COMMISSIONER FOR PATENTS  
Washington, D.C. 20231**

Sir:

**TRANSMITTAL OF MISSING PARTS OF APPLICATION AND  
PAYMENT OF SURCHARGE UNDER 37 C.F.R. § 1.16(e)**

Transmitted herewith are the following documents pertaining to the above-identified application:

- XX** Declaration and Power of Attorney form executed by Klaus Schroiff, Peter Gernsjaeger and Christian Bolik;
- \_\_\_ Declaration Claiming Small Entity Status (Small Business Concern);
- \_\_\_ \_\_\_\_\_ Sheets of Formal Drawings;
- XX** An Assignment of the Invention to : **ASSIGNEE NAME: International Business Machines Corporation, ASSIGNEE RESIDENCE: Armonk, New York** including \$40.00 recordation fee and Assignment Recordation Cover Sheet;
- \_\_\_ A Certified Copy of the Priority Application;
- \_\_\_ Information Disclosure Statement (Form - 1449); and
- XX** A copy of the Notice to File Missing Parts of Application Filing Date Granted.

\_\_\_\_ Petition and Fee for Extension of Time (37 CFR 1.136(A)).

The Filing Fee is calculated below.

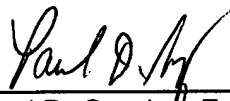
| CLAIMS AS FILED                 |                     |                     |             |                              |
|---------------------------------|---------------------|---------------------|-------------|------------------------------|
| (1)<br>For                      | (2)<br>Number Filed | (3)<br>Number Extra | (4)<br>Rate | (5)<br>Basic Fee<br>\$710.00 |
| Total Claims                    | 12 - 20 =           | 0                   | x \$18.00   | \$0                          |
| Independent<br>Claims           | 3 - 3 =             | 0                   | x \$84.00   | \$0                          |
| Multiple<br>Dependent Claim Fee |                     | x \$270.00 = \$0.00 |             |                              |
| TOTAL FILING FEE                |                     | \$710.00            |             |                              |

|                                 |    |
|---------------------------------|----|
| 1/2 FILING FEE FOR SMALL ENTITY | \$ |
|---------------------------------|----|

XX A check in the amount of \$ 880.00 to cover the (\$710.00) filing fee the (\$130.00) surcharge and the (\$40.00) recordation of assignment fee fee is enclosed.

XX The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§1.16 and 1.17 which may be required with this communication or during the entire pendency of the application, or credit any overpayment, to **Deposit Account No. 01-0467**. A duplicate copy of this Form is enclosed.


October 9, 2001  
Date

  
Paul D. Greeley, Esq.  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
Attorney for Applicant(s)  
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CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: BOX MISSING PARTS, COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231, ON OCTOBER 9, 2001.

Victoria E. Roeser  
NAME.

  
SIGNATURE

10/09/01  
DATE



UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/883,113         | 06/15/2001          | Klaus Schroiff        | DE9200000061US1        |

CONFIRMATION NO. 7971

FORMALITIES LETTER



\*OC000000006407033\*

Paul D. Greeley, Esq.  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
10th Floor  
One Landmark Square  
Stamford, CT 06901-2682

Date Mailed: 08/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/15/2001 KZENDIE 00000057 010467 09883113  
01 FC:105 130.00 OP  
02 FC:101 710.00 OP  
30.00 CH